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DOCKET NO.: E0295.70188US00

#9

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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Technology Center 2100

Applicant: Paul R. Carpentier et al.  
Serial No: 09/391,360  
Confirmation. No.: 8493  
Filed: September 7, 1999  
For: SYSTEM AND METHOD FOR SECURE STORAGE,  
TRANSFER AND RETRIEVAL OF CONTENT  
ADDRESSABLE INFORMATION

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the 26<sup>th</sup> day of September, 2003.

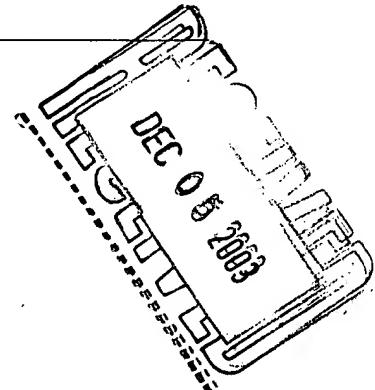
Signature

Commissioner For Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Transmitted herewith are the following documents:

Information Disclosure Statement  
 PTO Form 1449 with 29 cited references  
 Return Receipt Postcard



If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned at (617) 720-3500, Boston, Massachusetts.

A check is not enclosed. If a fee is required, the Commissioner is hereby authorized to charge Deposit Account No. 23/2825. A duplicate of this sheet is enclosed.

Respectfully submitted,

*Paul R. Carpentier et al., Applicants*

By:

Richard F. Giunta, Reg. No.: 36,149  
Wolf, Greenfield & Sacks, P.C.  
600 Atlantic Avenue  
Boston, Massachusetts 02210-2211  
Telephone: (617)720-3500

Docket No. E0295.70188US00

Date: September 26, 2003

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ADDRESSABLE INFORMATION  
Examiner: Unassigned  
Art Unit: Unassigned

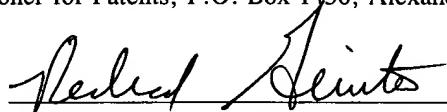
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Richard F. Giunta, Reg. No. 36,149

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**STATEMENT FILED PURSUANT TO THE DUTY OF  
DISCLOSURE UNDER 37 CFR §§1.56, 1.97 AND 1.98**

Sir:

Pursuant to the duty of disclosure under 37 C.F.R. §§1.56, 1.97 and 1.98, the Applicant requests consideration of this Information Disclosure Statement.

**PART I: Compliance with 37 C.F.R. §1.97**

This Information Disclosure Statement has been filed before the mailing date of a first Office Action on the merits in the above-identified case.

No fee or certification is required.

**PART II: Information Cited**

The Applicant hereby makes of record in the above-identified application the information listed on the attached form PTO-1449 (modified). The order of presentation of the references should not be construed as an indication of the importance of the references.

The applicant would like to bring to the Examiner's attention the following applications that may contain subject matter related to this application:

<u>Serial No.</u>	<u>Attoney Docket No.</u>	<u>Filing Date</u>	<u>Inventor(s)</u>
09/235,146	FP-003 (E0295.70186US00)	January 21, 1999	Carpentier et al.
09/236,366	FP-002 (E0295.70185US00)	January 21, 1999	Carpentier et al.
Not yet assigned	E0295.70192US00	September 26, 2003	Carpentier et al.

**PART III: Remarks**

Documents cited anywhere in the Information Disclosure Statement are enclosed unless otherwise indicated. It is respectfully requested that:

1. The Examiner consider completely the cited information, along with any other information, in reaching a determination concerning the patentability of the present claims;
2. The enclosed form PTO-1449 be signed by the Examiner to evidence that the cited information has been fully considered by the Patent and Trademark Office during the examination of this application;
3. The citations for the information be printed on any patent which issues from this application.

By submitting this Information Disclosure Statement, the Applicant makes no representation that a search has been performed, of the extent of any search performed, or that more relevant information does not exist.

By submitting this Information Disclosure Statement, the Applicant makes no representation that the information cited in the Statement is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b).

By submitting this Information Disclosure Statement, the Applicant makes no representation that the information cited in the Statement is, or is considered to be, in fact, prior art as defined by 35 U.S.C. §102.

Notwithstanding any statements by the Applicant, the Examiner is urged to form his own conclusion regarding the relevance of the cited information.

An early and favorable action is hereby requested.

Respectfully submitted,  
Paul R. Carpentier et al., *Applicants*

By: Richard F. Giunta  
Richard F. Giunta, Reg. No. 36,149  
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600 Atlantic Avenue  
Boston, Massachusetts 02210-2211  
Telephone: (617) 720-3500

Docket No. E0295.70188US00

Date: 09/26/03

**XNDDX**

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SEP 29 2003

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<b>EX-1449/A and B (Modified)</b> <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				APPLICATION NO.: 09/391,360	ATTY. DOCKET NO.: E0295,70188US00	
				FILING DATE:	September 7, 1999	CONFIRMATION NO.: 8493
				APPLICANT:	Paul R. Carpenter et al.	
				GROUP ART UNIT:	Unassigned	EXAMINER: Unassigned
Sheet	1	of	2			

**U.S. PATENT DOCUMENTS**

Examiner's Initials	Cite No.	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication or of issue of Cited Document MM-DD-YYYY
		Number	Kind Code		
	1.	5,202,982		Gramlich et al.	04-13-1993
	2.	5,404,508		Konrad et al.	04-04-1995
	3.	5,581,764		Fitzgerald et al.	12-03-1996
	4.	5,600,834		Howard	02-04-1997
	5.	5,694,596		Campbell	OCT 01 2003
	6.	5,701,316		Alferness et al.	12-23-1997
	7.	5,710,922		Alley et al.	01-20-1998
	8.	5,742,807		Masinter	04-21-1998
	9.	5,757,915		Aucsmith et al.	05-26-1998
	10.	5,907,619		Davis	05-25-1999
	11.	5,991,414		Garay et al.	11-23-1999
	12.	US2002/0002485	A1	O'Brien et al.	01-03-2002
	13.	US2002/0019935	A1	Andrew et al.	02-14-2002

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Technology Center 2100**FOREIGN PATENT DOCUMENTS**

Examiner's Initials	Cite No.	Foreign Patent Document			Name of Patentee or Applicant of Cited Document (not necessary)	Date of Publication of Cited Document MM-DD-YYYY	Translation (Y/N)
		Office/ Country	Number	Kind Code			
	14.	PCT	96/32685		Kinetech, Inc.	10-17-1996	
	15.	PCT	97/43717		Corporation for National Research Initiatives	11-20-1997	
	16.	PCT	99/38092		Carpentier et al.	07-29-1999	
	17.	PCT	99/38093		Carpentier et al.	07-29-1999	
	18.	GB	2 294 132	A	GEC-Marconi Limited	04-17-1996	

**OTHER ART — NON PATENT LITERATURE DOCUMENTS**

Examiner's Initials	Cite No	Include name of the author (in CAPITAL LETTERS) title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, relevant page(s), volume-issue number(s), publisher, city and/or country where published.	Translation (Y/N)
	19.	BOSSELAERS et al., "The RIPMED-160 Cryptographic Hash Function", Dr. Dobb's Journal, January 1997.	
	20.	FOWLER, et al., "A User-Level Replicated File System", June 21-25, 1993, Usenix Summer 1993 Technical Conference.	
	21.	ANDREW GORE, "FileWave agents across Atlantic", March 29, 1993, MACWEEK.	
	22.	GREENE, et al., "Multi-Index Hashing for Information Retrieval", November 20-22, 1994, Proceedings. 35 <sup>th</sup> Annual Symposium on Foundations of Computer Science, IEEE.	
	23.	ROBERT HESS, "FileRunner gets in sync with MAC", May 3, 1993, MACWEEK.	
	24.	HIRANO et al., "Improved Extendible Hashing with High Concurrency", 1995, Systems and Computers in Japan, Vol. 26, No. 13.	



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In 25.

MOORE et al., "Why LIFNs?", August 31, 1995, [www.netlib.org](http://www.netlib.org)

FORM PTO-1449/A and B (Modified)		APPLICATION NO.: 09/391,360	ATTY. DOCKET NO.: E0295.70188US00
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>		FILING DATE: September 7, 1999	CONFIRMATION NO.: 8493
		APPLICANT: Paul R. Carpentier et al.	
Sheet	2	of 2	GROUP ART UNIT: Unassigned EXAMINER: Unassigned

**OTHER ART — NON PATENT LITERATURE DOCUMENTS**

	26.	PRUSKER et al., "The Siphon: Managing Distant Replicated Repositories", November 8-9, 1990, Proceedings on the Management of Replicated Data, IEEE.		
	27.	Rich et al., "hobgoblin: A File and Directory Auditor", September 30 – October 3, 1991, LISA V, San Diego, CA.		

EXAMINER	DATE CONSIDERED

#EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

[NOTE - Must provide a copy of any patent, publication, other information listed, even if it was previously submitted to, or cited by, the U.S. Patent Office in an earlier application, unless the earlier application is identified by the IDS and is relied upon for an earlier filing date under 35 U.S.C. §120, and the copy was provided in the earlier application.]

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